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PATENT
Attorney Docket No.: 020425-105900US

TOWNSEND and TOWNSEND and CREW LLP

By: [Signature]
Andrea S. Beck

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Confirmation No. 2938

James D. Peterson

Examiner: Eric Tak Wai Wong

Application No.: 10/698,140

Technology Center/Art Unit: 4172

Filed: October 31, 2003

For: SYSTEM AND METHOD FOR
PROVIDING FINANCIAL ADVICE
FOR AN INVESTMENT PORTFOLIO

AMENDMENT

Customer No.: 20350

Mail Stop AF
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In response to the Office Action mailed on April 30, 2008, please enter the
following amendments and remarks:

Amendments to the Claims are reflected in the listing of claims which begins on page 2 of this
paper.

Remarks/Arguments begin on page 10 of this paper.